

Private Admonition -- Board Case No. 2, 1992. Date of Sanction: June 12, 1992. A panel of the Board on Professional Responsibility accepted a conditional admission and imposed a private admonition on March 26, 1992, which was made final by the Delaware Supreme Court on June 12, 1992. Respondent admitted a violation of **DLRPC 5.3(a)**, which states: "with respect to a nonlawyer employed or retained by or associated with a lawyer: a partner in a law firm shall make reasonable efforts to ensure that the firm has in effect measures giving reasonable assurance that the person's conduct is compatible with professional obligations of the lawyer."

A compliance check performed at the direction of the Clients' Security Trust Fund determined that the firm's books and records were not being maintained in compliance with **Interpretive Guideline No. 2** to **DLRPC 1.15**. Two subsequent compliance checks performed at the direction of the Office of Disciplinary Counsel also found the books and records not in compliance. A fourth compliance check found the books and records to be in compliance.

Respondent was a partner in the firm and failed to take reasonable steps to ensure that the firm's comptroller was maintaining the books and records as required. No client funds were at risk and the Respondent had no prior discipline. Respondent was ordered to pay for the costs of the compliance checks and the investigation.